

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
PATENT TRANSMITTAL FORM

Applicant: Paul T. Green

Serial No.: 09/389,939

Filed: September 3, 1999

For: FINANCIAL INSTRUMENT FILTERING SYSTEM AND METHOD
THEREFOR

Art Unit: 2761

Examiner: Not yet assigned

Attorney Docket: 321.5452USU

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Transmitted herewith is:

1. Information Disclosure Statement;
2. PTO Form 1449 with a copy of an article;
3. Transmittal letter in duplicate; and
4. Postcard.

Please charge any additional fees or credit any such fees, if necessary to Deposit Account No. 01-0467 in the name of Ohlandt, Greeley, Ruggiero & Perle. A duplicate copy of this sheet is attached.

Respectfully submitted,

Paul D. Greeley
Reg. No. 31,019
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.
One Landmark Square, 9th Floor
Stamford, Connecticut 06901-2682
(203) 327-4500

Date: December 7, 1999

CERTIFICATE OF MAILING

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231, ON DECEMBER 7, 1999.

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DECEMBER 7, 1999
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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with applicant's duty of disclosure under 37 C.F.R. §1.56, please find attached hereto form PTO-1449 listing information which may be material to the patentability of this application filed on September 3, 1999. This Information Disclosure Statement is being filed:

____ Within three (3) months of the filing date of the national application;

____ Within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application;

XXX Before the mailing date of a first Office Action on the merits;

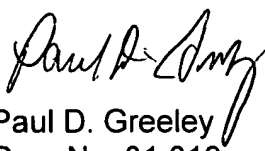
____ After the filing date or date of first Office Action, but before the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);

- After the filing date or date of first Office Action, but before the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to the final action and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);
- After the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e), a petition requesting consideration of the I.D.S., and the petition fee set forth in 37 C.F.R. §1.17(i)(1); and
- After the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to the issuance of a final action and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e), a petition requesting consideration of the I.D.S., and the petition fee set forth in 37 C.F.R. §1.17(l)(1).

Also enclosed is a copy of the following article: "A New Gold Medalist in Fund Software," by Robert Barker, Business Week, February 23, 1998, pp. 130.

It should be understood that attention has been called to the reference that have been deemed to be pertinent to the claimed present invention. In concluding what was pertinent, the criteria employed was considered most appropriate in light of the invention shown in the present application. However, the Examiner or others may deem some other criteria to be just as appropriate or more appropriate. Therefore, the Examiner is respectfully urged to review the listed references and to make the usual careful independent search for other prior art that may be pertinent.

Respectfully submitted,



December 7, 1999

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